

01-16-01

PTO/SB/05 (11-00)

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10/27/01  
U.S. PTO  
105-1

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 360322000200

First Inventor Gaurav MEHRA, Tejas M. DAMANIA, Rich ELLINGER, Deepak JAIN and Michael L. DUFNER

Title METHOD AND APPARATUS FOR A BUSINESS APPLICATIONS SERVER

Express Mail Label No. EL352557543US

## CERTIFICATE OF MAILING BY "EXPRESS MAIL"

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Date of Deposit: January 12, 2001

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above and is addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231.

John Varney

C841 U.S. PTO  
09/739497

01/12/01

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1.  Fee Transmittal Form (e.g. PTO/SB/17) [Total Pages 1] **IN DUPLICATE**
2.  Applicant claims small entity status. See 37 CFR 1.27.
3.  Specification [Total Pages 222] (preferred arrangement set forth below)
  - Descriptive title of the Invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4.  Drawing(s) (35 USC 113) [Total Sheets 17]
5. Oath or Declaration [Total Pages 2]
  - a.  Newly executed (original or copy)
  - b.  Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional with Box 17 completed)
    - i.  **DELETION OF INVENTOR(S)** Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
6.  Application Data Sheet. See 37 CFR 1.76 [Total Pages 3]

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7.  CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8.  Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a.  Computer Readable Form (CRF)
  - b.  Specification Sequence Listing on:
    - i.  CD-ROM or CD-R (2 copies); or
    - ii.  paper
  - c.  Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9.  Assignment Papers (cover sheet & document) (3 Pages)
10.  37 CFR 3.73(b) Statement (1 Page) with a copy of the assignment (2 pages)  Power of Attorney (3 Pages)
11.  English Translation document (if applicable)
12.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations
13.  Preliminary Amendment
14.  Return Receipt Postcard (MPEP 503) Should be specifically itemized
15.  Certified Copy of Priority Document(s) (if foreign priority is claimed)
16.  Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17.  Other Fee Determination Record (1 page) and Title Page (1 page)

18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation     Divisional     Continuation-in-part (CIP)    of prior application No:

Prior application information:

Examiner    Group / Art Unit:

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. This incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

 Customer Number or Bar Code Labelor  Correspondence address below

20872

PATENT TRADEMARK OFFICE

(Insert Customer No. or Attach bar code label here)

Name			
Address			
City	State	Zip Code	
Country	Telephone	Fax	
Name (Print/Type)	Erwin J. Basinski		Registration No. (Attorney/Agent)
Signature			Date January 12, 2001

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# FEE TRANSMITTAL FOR FY 2001

*Patent fees are subject to annual revision.*

**TOTAL AMOUNT OF PAYMENT**

Complete if Known		
Application Number	To Be Assigned	
Filing Date	Herewith	
First Named Inventor	Gaurav MEHRA, Tejas M. DAMANIA, Rich ELLINGER, Deepak JAIN and Michael L. DUFNER	
Examiner Name	To Be Assigned	
Group Art Unit	To Be Assigned	
(\$) <b>1370.00</b>	Attorney Docket No. <b>360322000200</b>	U.S. PTO 75949 12/01

UFNER  
41 U.S. Prod  
9/75/497  
12/01

**METHOD OF PAYMENT**

## FEE CALCULATION (continued)

1. <input checked="" type="checkbox"/>	The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:
Deposit Account Number	<input type="text" value="03-1952"/>
Deposit Account Name	<input type="text" value="Morrison &amp; Foerster LLP"/>
<input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27	
2. <input checked="" type="checkbox"/>	<b>Payment Enclosed:</b>
<input type="checkbox"/> Check <input type="checkbox"/> Credit Card <input type="checkbox"/> Money Order <input type="checkbox"/> Other	

## **FEE CALCULATION**

**1. BASIC FILING FEE**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	710
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	
<b>SUBTOTAL (1)</b>				<b>(\$)</b>	<b>710.00</b>

### **3. ADDITIONAL FEES**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
05	130	205	65	Surcharge - late filing fee or oath	
27	50	227	25	Surcharge - late provisional filing fee or cover sheet	
39	130	139	130	Non-English specification	
47	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions of the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per properties (times number of properties)	40.00
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination	

## 2. EXTRA CLAIM FEES

			Extra Claims		Fee from below		Fee Paid
<b>Total Claims</b>	50	- 20 =	30	x	18.00	=	<b>\$540.00</b>
<b>Independent Claims</b>	4	- 3 =	1	x	80.00	=	<b>\$80.00</b>

**Multiple Dependent**      0      x      =      \$0.00

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	<b>Claims in excess of 20</b>
102	80	202	40	<b>Independent claims in excess of 3</b>
104	270	204	135	<b>Multiple dependent claims, If not paid</b>
109	80	209	40	<b>**Reissue Independent claims over original patent</b>
110	18	210	9	<b>**Reissue claims in excess of 20 and over original patent</b>

Other fee (specify):

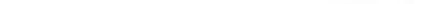
Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$40.00)

**SUBMITTED BY**

---

**Complete (if applicable)**

SUBMITTED BY		Complete (if applicable)		
Name (Print/Type)	Erwin J. Basinski	Registration No. (Attorney/Agent)	34,773	Telephone (415) 268-7000
Signature			Date	January 12, 2001

**be included on this form. Provide credit card information and authorization on PTO-238.**

## CERTIFICATE UNDER 37 C.F.R. § 3.73(b)

Docket No. 360322000200

In the application of: MEHRA et al.  
 Serial No.: To Be Assigned  
 Filed: Herewith  
 For: METHOD AND APPARATUS FOR A BUSINESS APPLICATIONS SERVER

Saba Software, Inc., a Delaware corporation, certifies that it is the assignee of the entire right, title and interest in the patent application identified above by virtue of either:

A.  An assignment from the inventor(s) of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel \*, Frame \*, or for which a copy thereof is attached.

OR

B.  A chain of title from the inventor(s) of the patent application identified above, to the current assignee as shown below:

1. From : \*

To: \*

The document was recorded in the Patent and Trademark Office at Reel \*, Frame \*, or for which a copy thereof is attached.

2. From : \*

To: \*

The document was recorded in the Patent and Trademark Office at Reel \*, Frame \*, or for which a copy thereof is attached.

3. From : \*

To: \*

The document was recorded in the Patent and Trademark Office at Reel \*, Frame \*, or for which a copy thereof is attached.

Additional documents in the chain of title are listed on a supplemental sheet.

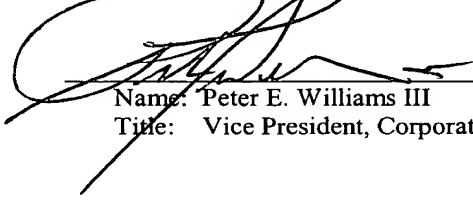
Copies of assignments or other documents in the chain of title are attached.

The undersigned has reviewed all the documents in the chain of title of the patent application identified above and, to the best of undersigned's knowledge and belief, title is in the assignee identified above.

The undersigned (whose title is supplied below) is empowered to sign this certificate on behalf of the assignee.

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are believed to be true; and further, that these statements are made with the knowledge that willful false statements, and the like so made, are punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Dated: January 10, 2001

  
 Name: Peter E. Williams III  
 Title: Vice President, Corporate Development